



08/15/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE OF EXPRESS MAILING

This transmittal and the documents and/or fees itemized hereon and attached hereto have been deposited as "Express Mail Post Office to Addressee" in accordance with 37 C.F.R. § 1.110 with Express Mail Mailing Label Number: EL831641805US

Attorney Docket No.: 60021.375602

First Named Inventor:

SLOAN, Ronald E.



UTILITY PATENT APPLICATION TRANSMITTAL (37 CFR. § 1.53(b))
(Continuation application)

Commissioner for Patents
Box Patent Application
Washington, DC 20231

☐ Duplicate for
fee processing

Sir: This is a request for filing a patent application under 37 CFR. § 1.53(b) in the name of inventors:
Ronald E. Sloan and Stephen B. Slutsky

For: **FINANCIAL PORTFOLIO RISK MANAGEMENT**

This application is a ☒ Continuation ☐ Divisional ☐ Continuation-in-part

of prior Application No.: 09/705,287 filed on November 1, 2000; 09/431,390 filed on November 1, 1999;
and 09/580,352 filed on May 25, 2000, as amended by the Preliminary Amendment dated July 20, 2001,
from which priority under 35 U.S.C. §120 is claimed.

Application Elements:

☒ 69 Pages of Specification, Claims and Abstract

☒ 16 Sheets of **formal/informal** Drawings

☒ 02 Declaration

☐ Newly executed (original or copy)

☒ Copy from a prior application (37 CFR 1.63(d) for a continuation or divisional).
The entire disclosure of the prior application from which a copy of the declaration is herein supplied is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

☐ Deletion of inventors Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

Accompanying Application Parts:

☐ Assignment and Assignment Recordation Cover Sheet (recording fee of \$40.00 enclosed)

☐ Power of Attorney

- ☐ 37 CFR 3.73 Statement by Assignee
☐ Information Disclosure Statement with Form PTO-1449 ☐ Copies of IDS Citations
☐ Preliminary Amendment (*New claims numbered after highest original claim in prior application.*)
☒ Return Receipt Postcard
☐ Other:

Claim For Foreign Priority

- ☐ Priority of _____ Application No. _____ filed on _____ is claimed under 35 U.S.C. § 119.
☐ The certified copy has been filed in prior application U.S. Application No. _____
☐ The certified copy will follow.

Extension of Time for Prior Pending Application

- ☒ A Petition for Extension of Time for the Response to Notice to File Missing Parts is being concurrently filed in the prior pending application. A copy of the Petition for Extension of Time is attached.

Amendments

- ☒ Amend the specification by inserting before the first line the sentence: "This is a
☒ Continuation ☐ Continuation-in-part ☐ Divisional
 application of copending prior
☒ Application No. 09/705,287 filed on November 1, 2000,
☐ International Application _____ filed on _____ which
 designated the United States,
 the disclosure of which is incorporated herein by reference."

- ☐ Cancel in this application original claims _____ of the prior application before calculating the filing fee. (*At least one original independent claim must be retained.*)

Fee Calculation (37 CFR § 1.16)

	(Col. 1) NO. FILED	(Col. 2) NO. EXTRA	SMALL ENTITY RATE FEE	OR	LARGE ENTITY RATE FEE
BASIC FEE			\$345 \$	OR	\$710 \$ 710.00
TOTAL CLAIMS	<u>42</u> -20 = <u>22</u>		x09 = \$	OR	x18 = \$ 396.00
INDEP CLAIMS	<u>03</u> -03 = <u>00</u>		x40 = \$	OR	x80 = \$
[] Multiple Dependent Claim Presented			\$130 = \$	OR	\$260 = \$
* If the difference in Col. 1 is less than zero, enter "0" in Col. 2.			Total \$	OR	Total <u>\$1106.00</u>

- ☐ Check No. _____ in the amount of \$ _____ is enclosed.



Gen



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